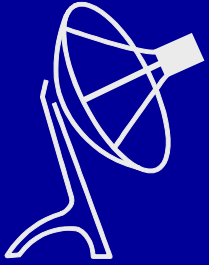


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Learning

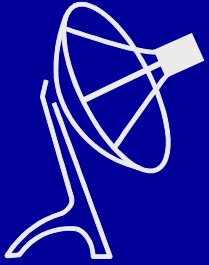
Performance Management Basics



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Learning Objectives

- ✓ **By the end of this session, you will**
 - ◆ **Understand the linkage between organizational and individual performance**
 - ◆ **Become familiar with the fundamental concepts of performance management**
 - ◆ **Review the key components of performance management systems**

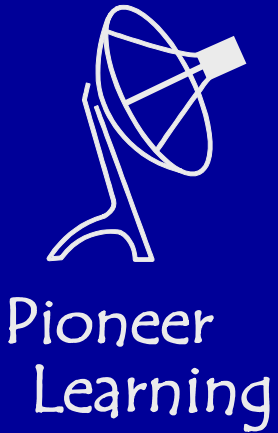


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Learning Objectives

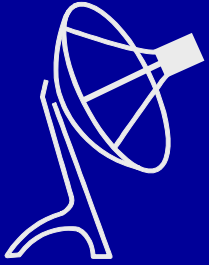
✓ You'll also

- ◆ See how performance management fits into HR 2005
- ◆ Preview some of the ways DOP will be supporting agencies in the development and implementation of performance management systems



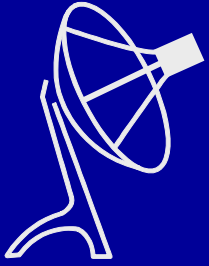
Guidelines for This Workshop

- ✓ **Your handout provides a concise summary of today's presentation**
 - ◆ **On September 4, today's entire presentation will be available to you online at DOP's HR 2005 website**
 - ◆ **In addition to the slides, there will be notes that provide more detail**



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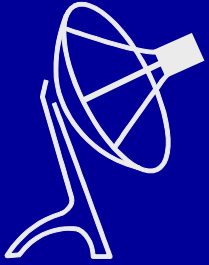
Background



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The Current Environment

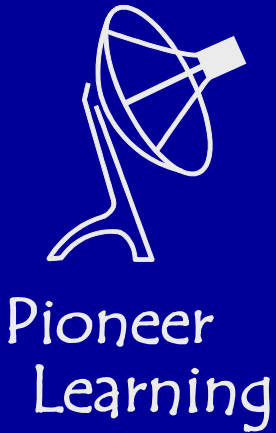
- ✓ **Need to improve effectiveness and efficiency of state government operations**
- ✓ **Need to modernize the state's civil service system**
- ✓ **Opportunity to build on the state's performance measurement, quality improvement, and strategic planning initiatives**



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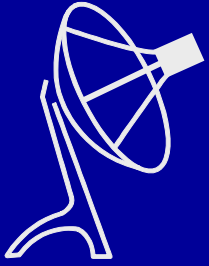
HR 2005

- ✓ **Revamp the classification system**
- ✓ **Expand the scope of collective bargaining**
- ✓ **Allow competitive contracting of services**
- ✓ **Revise organizational structure and roles**
- ✓ **Modify support systems to accommodate changes**



Implications of HR 2005

- ✓ **The opportunity to create a performance-based culture in state government has never been better**
 - ◆ **A flexible system that builds and sustains agency and employee performance**



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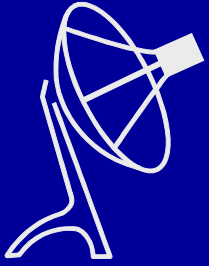
High-Performing Organizations

✓ **Organizational success is contingent on the successful performance of employees**

◆ **Competence**

◆ **Innovation**

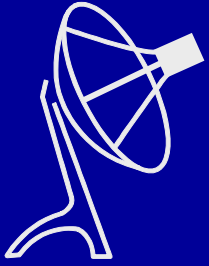
◆ **Productivity**



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High-Performing Organizations

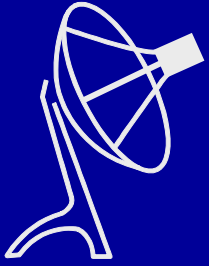
- ✓ **Outcomes required for sustainable success drive everyone's work**
 - ◆ **Managers and employees work together to achieve goals**
 - ◆ **Effective and efficient processes ensure that customers receive services that meet or exceed their expectations**



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Learning

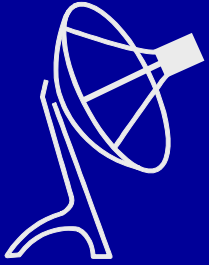
High-Performing Organizations

- ✓ **Managers create conditions and consequences that support and sustain strong performance**
 - ◆ **Desired performance is fostered and rewarded**
 - ◆ **Poor performance is not tolerated**



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Performance Management's Role in HR 2005

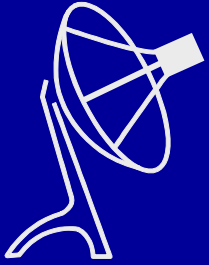


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What Is Performance Management?

✓ A systematic approach for

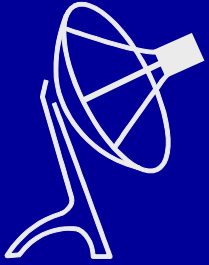
- ◆ Assigning work
- ◆ Enabling work to be carried out as planned
- ◆ Evaluating performance
- ◆ Ensuring sustainable success of both the agency and its employees



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Framework, Not Rules

- ✓ **Performance management is not a “one size fits all” approach**
- ◆ **Performance management techniques already are being used**
- ◆ **There’s an opportunity to increase scope and consistency of their application**



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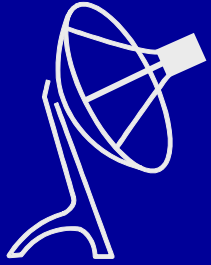
Flexible Implementation Plans

✓ Considerations

- ◆ Where is your agency today?
- ◆ Where does it need to go?
- ◆ What steps will get it there?

✓ Implementation options

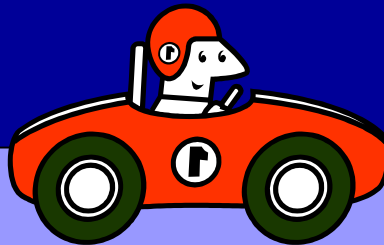
- ◆ Priorities
- ◆ Phasing
- ◆ Pacing



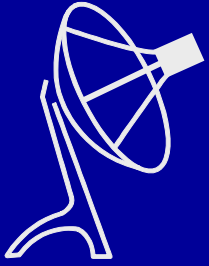
The Continuum

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Learning

Where is your agency
on this path?

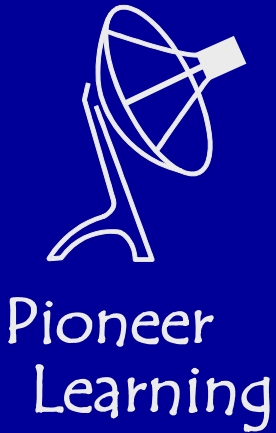


High-Performing
Organization



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Performance Management Tools

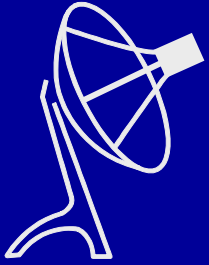


Some Planned DOP Offerings

✓ Tools and guidance

- ◆ **E/MDPP**
- ◆ **Performance factor supplement**
- ◆ **E/MDPP user's guide**
- ◆ **Readiness assessment and checklists**
- ◆ **Competency lists**
- ◆ **Examples and resource references**
- ◆ **Microsoft® PowerPoint® templates**
- ◆ **Recognition models**

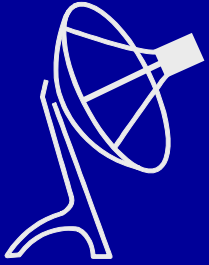
Some Planned DOP Offerings



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✓ Services

- ◆ **Readiness confirmation**
- ◆ **Consultation**
- ◆ **Presentations**
- ◆ **Assistance with organizing initial E/MDPP pilot and assessment**

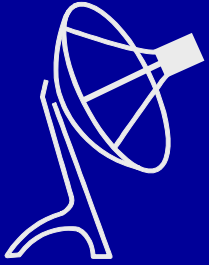


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Some Planned DOP Offerings

✓ Training

- ◆ **Management orientation to performance management**
- ◆ **In-depth techniques and tools for HR and managers**
- ◆ **E/MDPP**
- ◆ **Development and implementation training**
- ◆ **How to develop competencies**

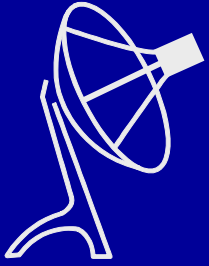


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Some Planned DOP Offerings

✓ More training

- ◆ **Linking performance to compensation**
- ◆ **Coaching and feedback**
- ◆ **Recognition**
- ◆ **Discipline without punishment**

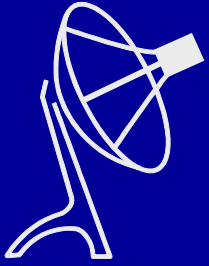


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Questions

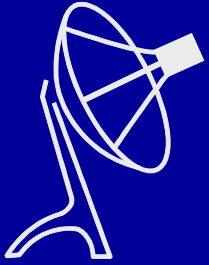
and

Answers



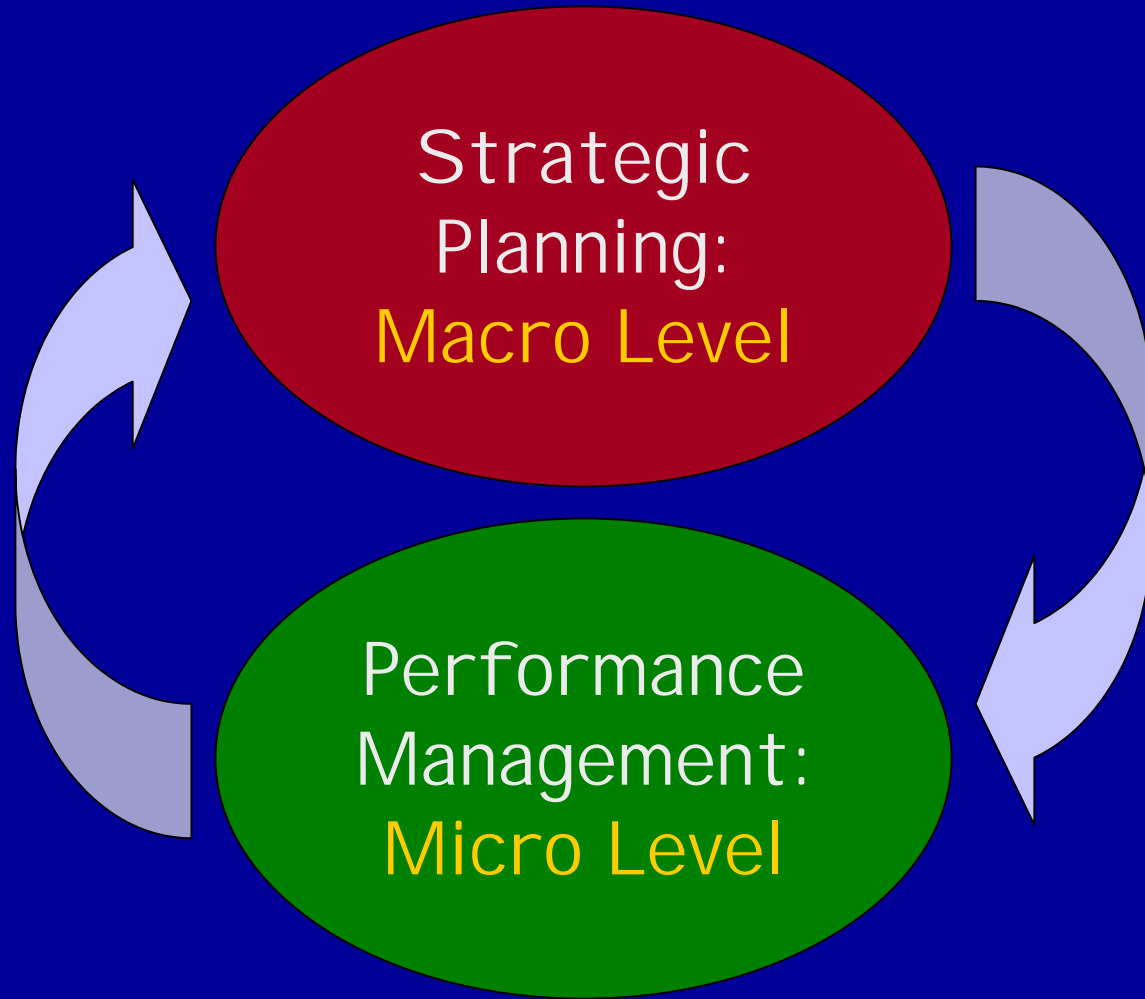
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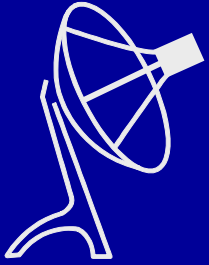
Performance Management's Link to Strategic Planning



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Macro- and Micro-Deployment

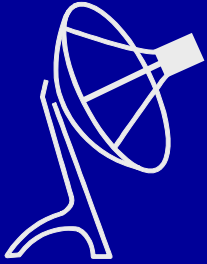




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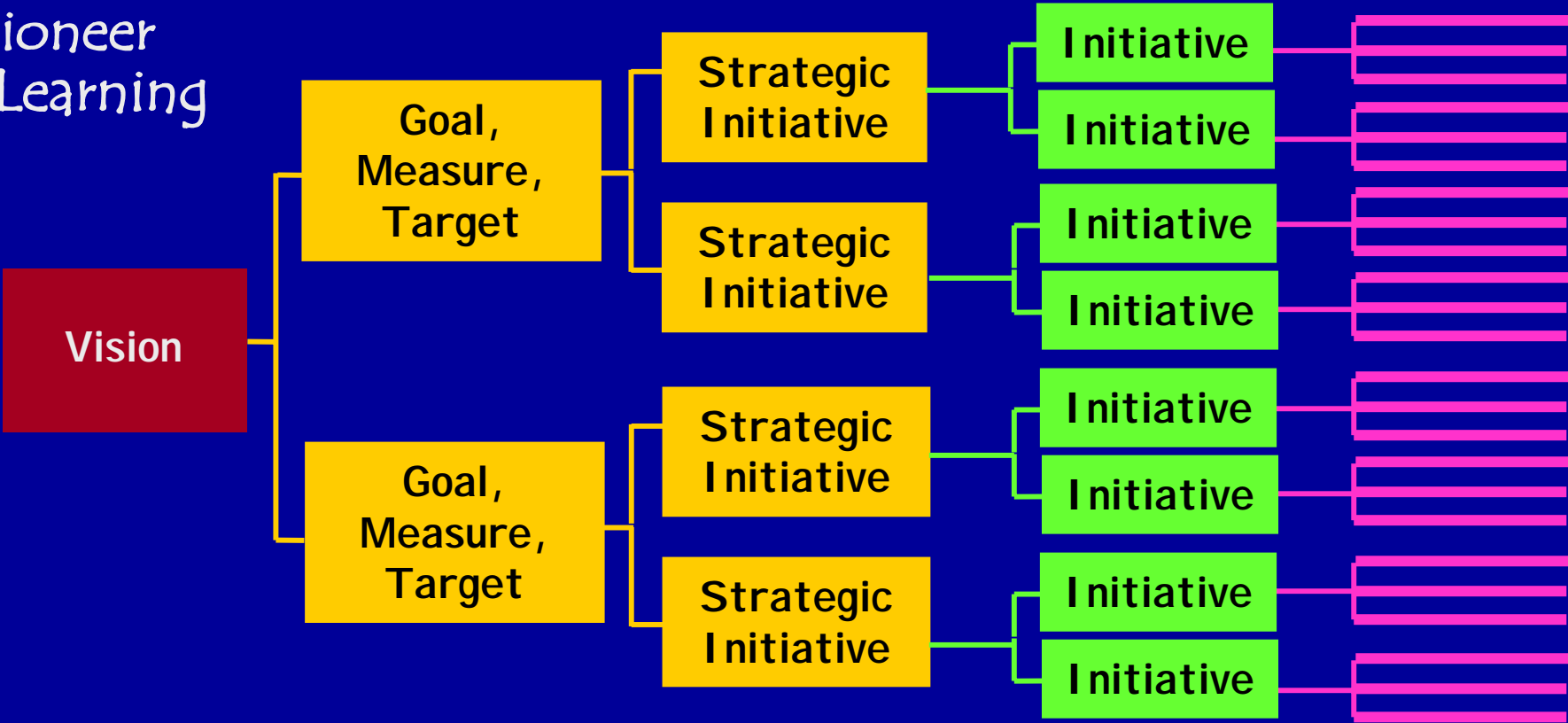
What Is Strategic Planning?

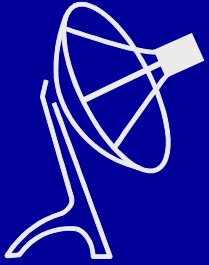
- ✓ **A systematic approach for**
 - ◆ **Identifying where the organization is currently**
 - ◆ **Determining where the organization needs to be in the future**
 - ◆ **Establishing appropriate ways to get from the current state to the desired future state**
 - ◆ **Aligning all work across the organization to those ways**



Aligned Plans

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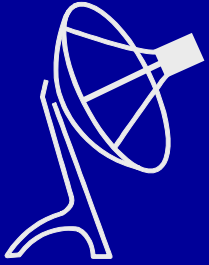


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Theoretical Perfection

✓ It's cumulative

- ◆ Individual efforts accumulate to fulfill work group initiatives
- ◆ Accumulated fulfillment of work group initiatives leads to fulfillment of organizational strategies
- ◆ Accumulated fulfillment of agency strategies leads to accomplishment of agency goals



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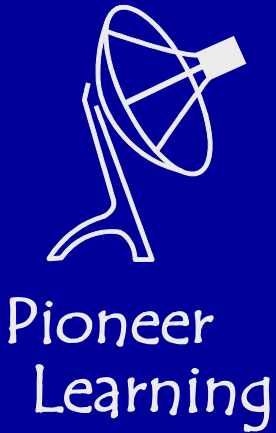
Theory Versus Reality

✓ Efforts are cumulative

- ◆ Individual and work group initiatives build into organizational success

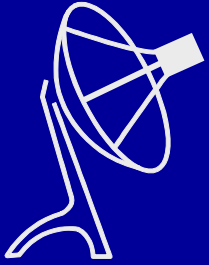
✓ There's loss along the way

- ◆ Communication issues
- ◆ Resource issues
- ◆ Competency issues
- ◆ Resistance to change



Minimizing the Loss

- ✓ **Frequent reinforcement of the plan—in terms of the day-to-day workplace—is necessary to keep every individual's work on track**
 - ◆ **Specific expectations that align projects and activities**
 - ◆ **Proper assignment of work**
 - ◆ **Situation-specific problem solving and support**
 - ◆ **Regular feedback and coaching**

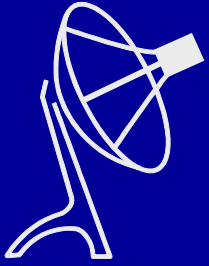


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The Link

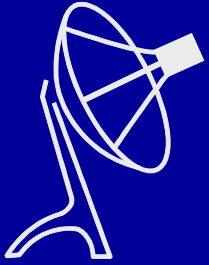
✓ **Performance management is the system that**

- ◆ **Ensures employees are focusing on the right work at the right time**
- ◆ **Ensures managers are providing the proper direction without micro-managing the actual work**
- ◆ **Ensures employees have the required competencies, resources, and support to succeed**



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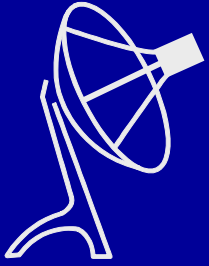
Performance Management Conceptual Basis



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About Behavior

- ✓ Behaviors are defined by the actions taken and approaches used
- ✓ Actions taken and approaches used work together to obtain results
 - ◆ Ineffective or inefficient actions undermine results
 - ◆ Inappropriate approaches also undermine results

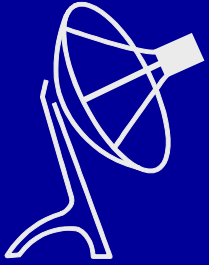


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Behaviors Don't Happen in a Vacuum

✓ **Our behaviors are influenced by many factors**

- ◆ **What we know and can do**
- ◆ **What we have available to help us**
- ◆ **What has happened to us in the past**
- ◆ **What we expect to happen to us in the future**



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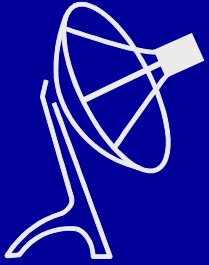
Terminology

✓ Antecedents

◆ **Factors that influence a person's ability to behave**

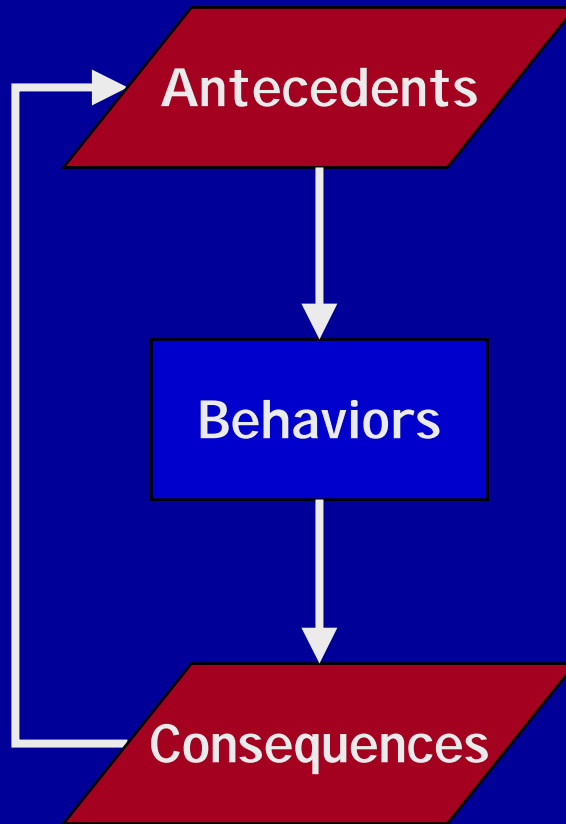
✓ Consequences

◆ **Responses that occur based on a person's behavior**



The ABC Model

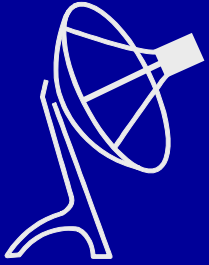
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Inputs:
Capabilities and Resources

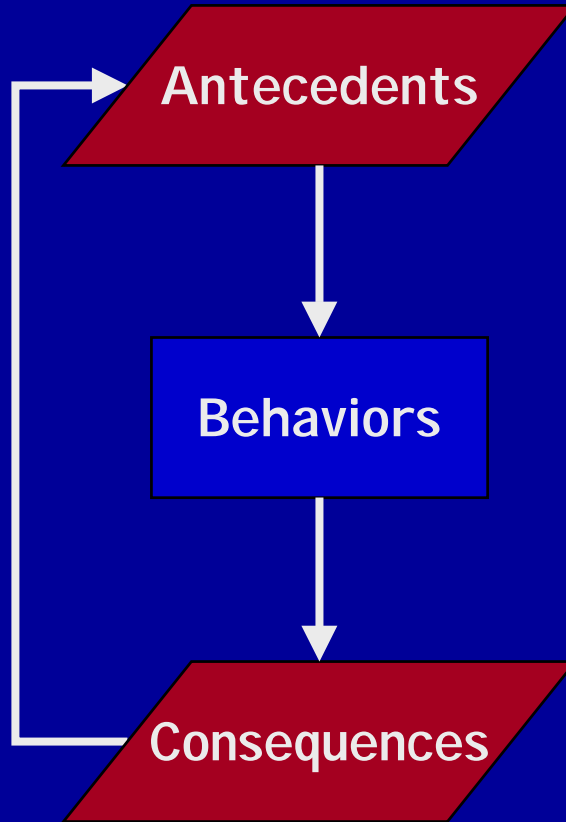
Actions Taken
Approach Used
Results Obtained

Outputs:
Consequences



Influencing Behavior

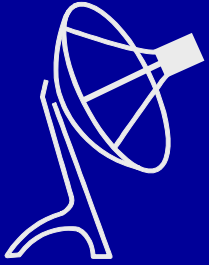
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Manager:
Capabilities and Resources

Employee:
Actions Taken
Approach Used
Results Obtained

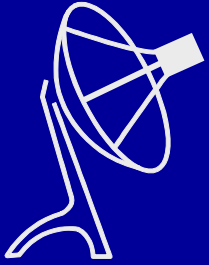
Manager:
Consequences



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Typical Antecedents

- ✓ **Subject-matter knowledge, skills, and experience**
- ✓ **Organizational knowledge and experience**
- ✓ **Clearly defined expectations**
- ✓ **Appropriate authority**
- ✓ **Available resources**
- ✓ **Willing support**



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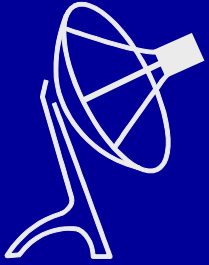
Consequences

✓ Positive

- ◆ **Something is received or happens (additive)**

✓ Negative

- ◆ **Something is taken away or stops happening (subtractive)**



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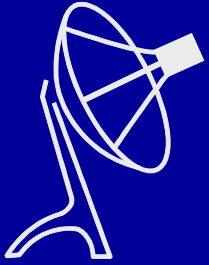
Consequences

✓ Reinforcement

- ◆ **Something that increases behavior or makes it more likely to occur**

✓ Punishment

- ◆ **Something decreases behavior or make it less likely to occur**



Consequences

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Reinforcement:
Increase

Take away
what you
don't want

Give you
what you
do want

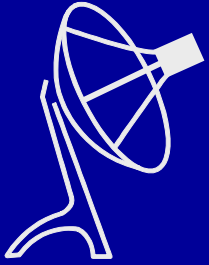
Punishment:
Decrease

Take away
what you
do want

Give you
what you
don't want

Negative:
Subtract

Positive:
Add



Typical Business Consequences

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Reinforcement:
Increase

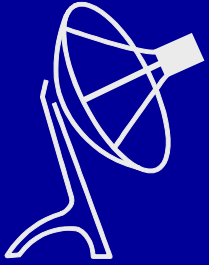
Recognition
and reward

Punishment:
Decrease

No recognition
or reward

Negative:
Subtract

Positive:
Add

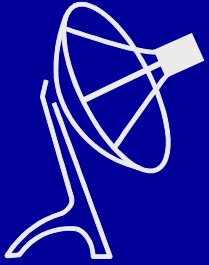


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Which Works Best?

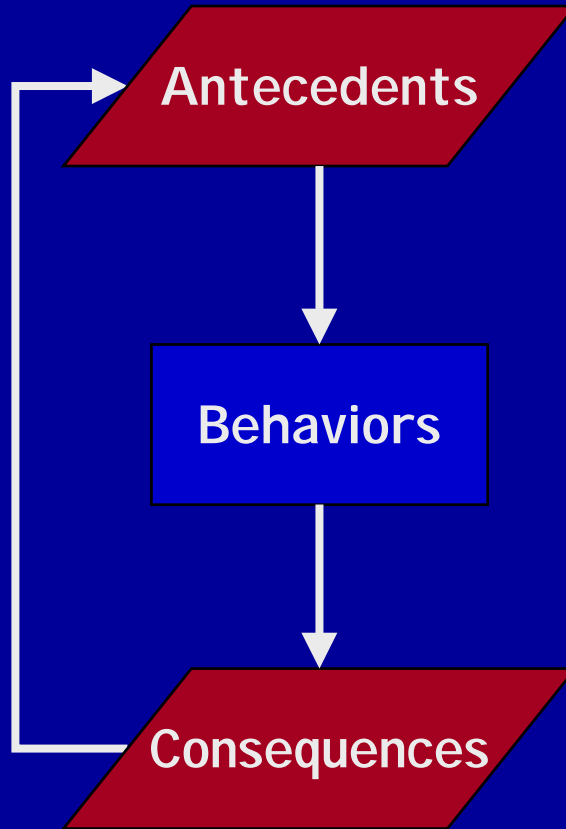
✓ Positive reinforcement

- ◆ Produces behaviors that exceed expectations
- ◆ Builds mutual respect
- ◆ Encourages the desired behavior to repeat and grow



Performance Management

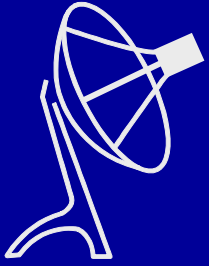
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Manager:
Sufficient Capabilities and
Resources

Employee:
Actions Taken
Approach Used
Results Obtained

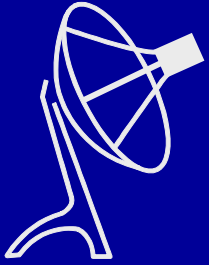
Manager:
Positive Reinforcement



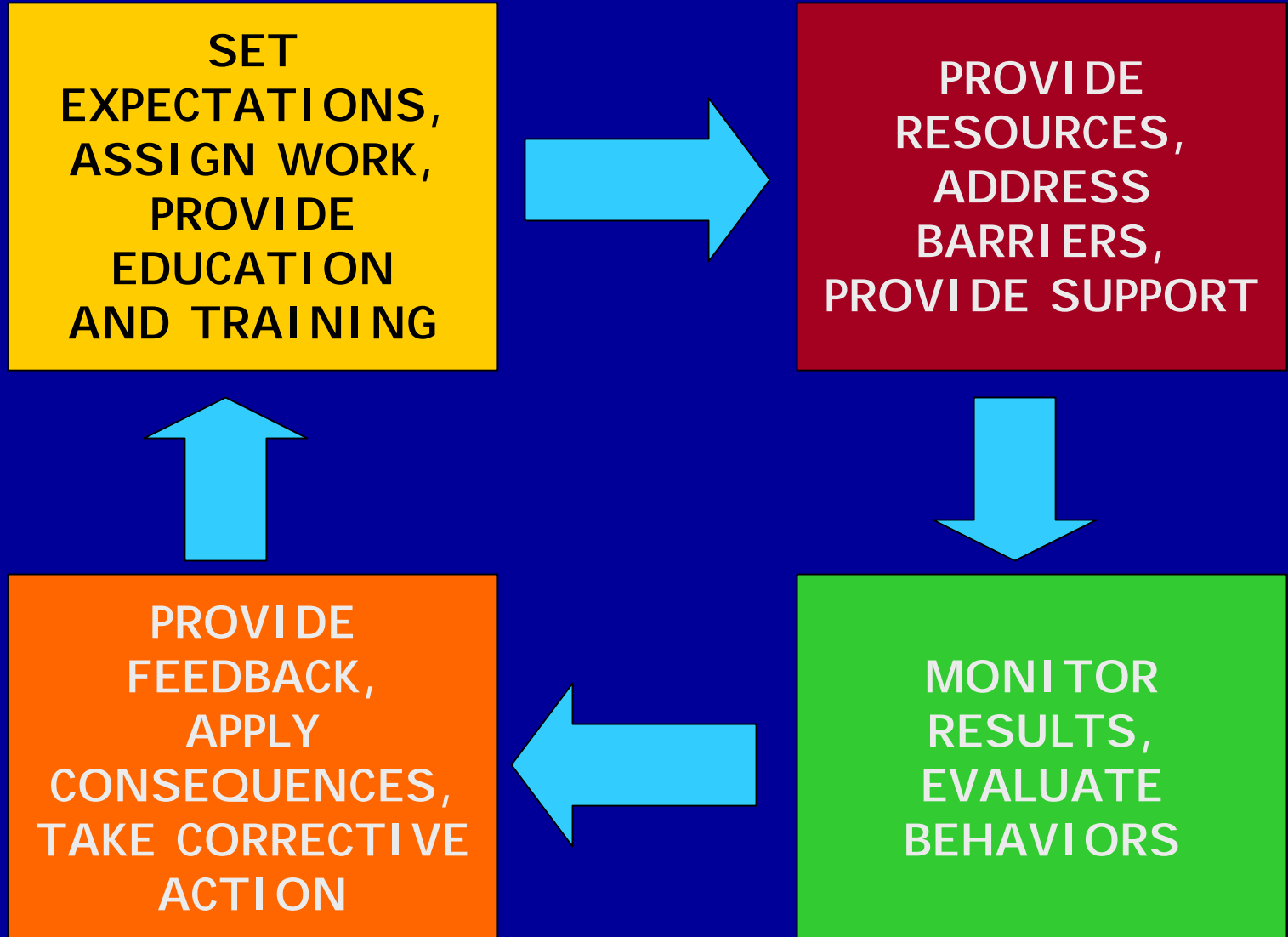
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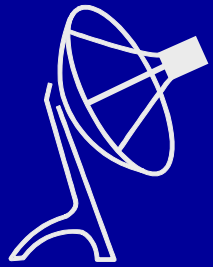
Process View of Performance Management

Manager's View of Process



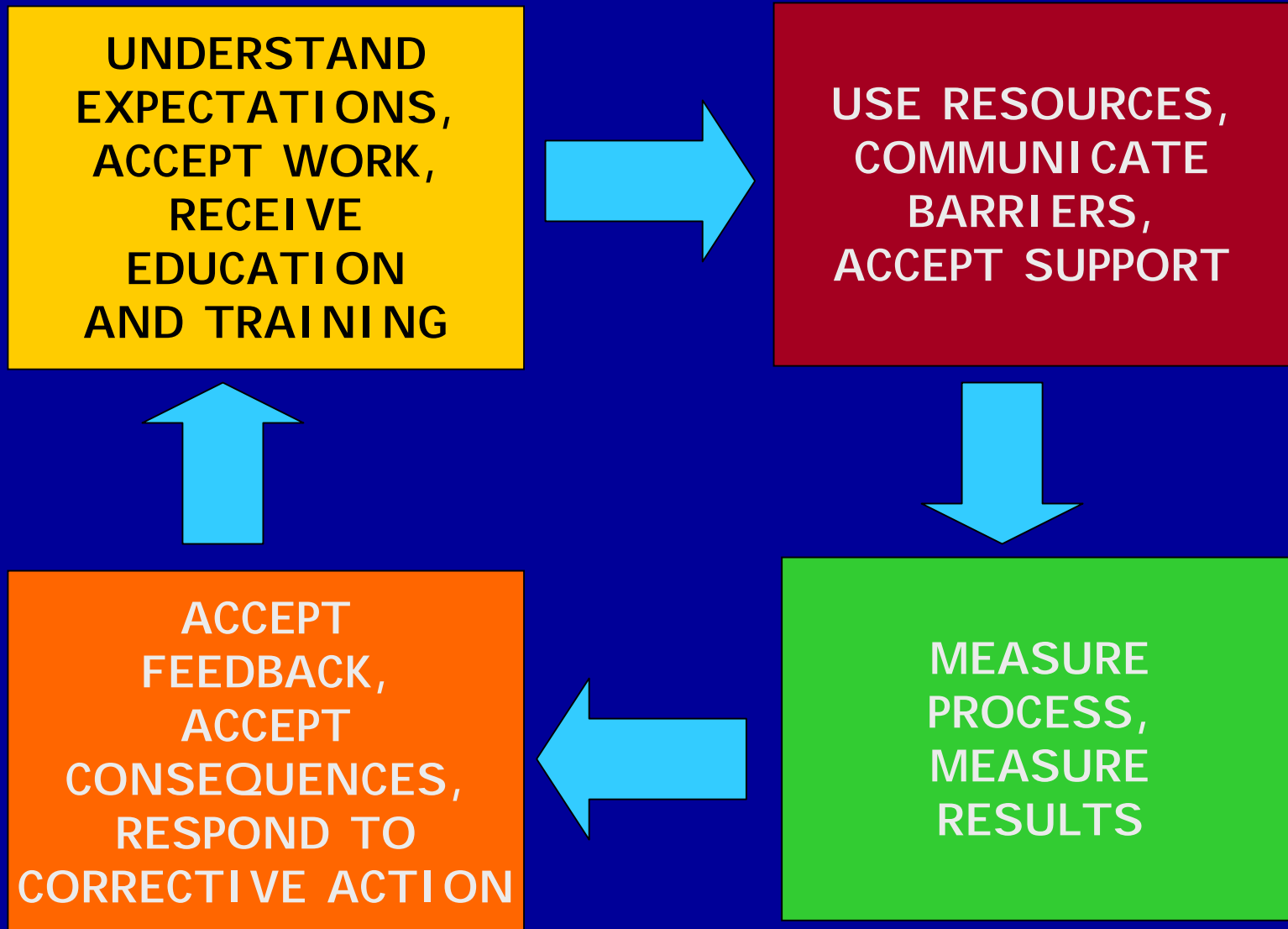
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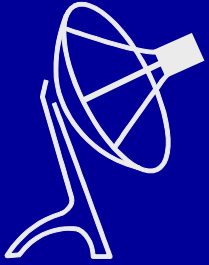




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Employee's View of Process

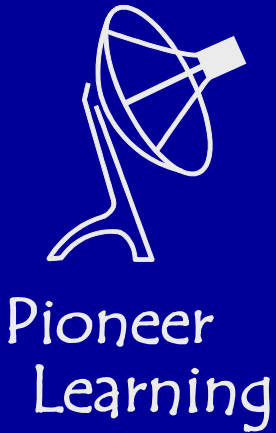




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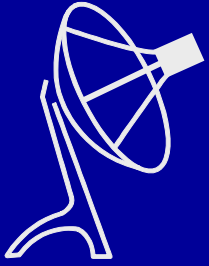
Performance Expectations

- ✓ **Each employee has clear performance expectations**
 - ◆ **Links directly to the strategic plan**
 - ◆ **Includes core and job-specific competencies**
 - ◆ **Specifies expected results**
 - ◆ **Defines appropriate performance standards**



Education, Training, and Development

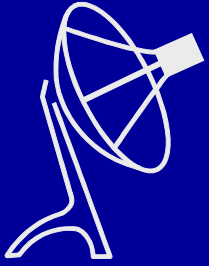
- ✓ **Each employee has an education, training, and development plan**
 - ◆ **Links to existing competencies and future competency requirements**
 - ◆ **Provided in time to make achievement of performance expectations possible**



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Communication, Mentoring, Coaching, and Feedback

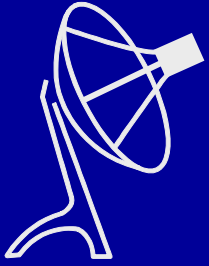
- ✓ **Each employee communicates regularly with his/her manager, receiving appropriate mentoring, coaching, and feedback**
 - ◆ **Guides performance success**
 - ◆ **Provided in a timely manner**



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Performance Appraisal

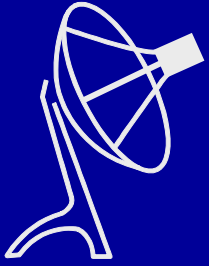
- ✓ **Each employee receives regular performance appraisals**
 - ◆ **Links directly to performance expectations**
 - ◆ **Reflects contributions to the organization's achievement of its goals**
 - ◆ **Provided in a timely manner**
 - ◆ **Represents a long-term perspective of performance**



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Recognition

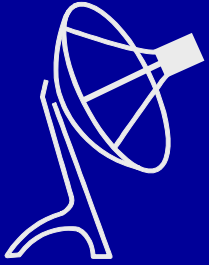
- ✓ **Each employee receives recognition when performance expectations are met**
 - ◆ **Consists of acknowledgement of accomplishments and, in some cases, rewards**
 - ◆ **Designed to be meaningful**
 - ◆ **Provided in a timely manner**
 - ◆ **Provided consistently**



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Corrective Action

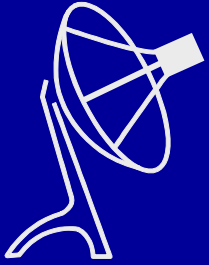
- ✓ **Each employee understands what corrective action is necessary to raise performance to an acceptable level**
 - ◆ **Describes required changes in specific terms**
 - ◆ **Provided in a timely manner**
 - ◆ **Reinforced with regular communications**
 - ◆ **Includes disciplinary action, when appropriate**



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Learning

Balanced Accountabilities

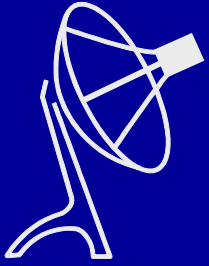
MANAGER	EMPLOYEE
Work on highest priorities	Accept new priorities; "let go" of the past
Clarify expectations without micromanaging work process	Obtain a thorough understanding of expectations
Provide education, training, and development	Identify competency deficiencies; dedicate effort to learning



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Balanced Accountabilities

MANAGER	EMPLOYEE
Provide feedback and evaluations of performance	Understand and take action on feedback and evaluations
Recognize performance in a timely and meaningful manner	Help managers shape recognition so that it is meaningful
Create a workplace where high performance can be attained	Work collaboratively, fulfilling assignments effectively and efficiently



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Questions

and

Answers